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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/692,127	10/23/2003	Shengdong Chen	AUS920030659US1	2150
45502 7590 06/21/2007 DILLON & YUDELL LLP 8911 N. CAPITAL OF TEXAS HWY., SUITE 2110 AUSTIN, TX 78759			EXAMINER CHOU, ALAN S	
			ART UNIT 2151	PAPER NUMBER
			MAIL DATE 06/21/2007	DELIVERY MODE PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary

Application No.

10/692,127

Applicant(s)

CHEN ET AL.

Examiner

Alan S. Chou

Art Unit

2151

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 23 October 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-24 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date <u>10/23/2003</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Claims 1-24 are presented for examination.

Claim Rejections - 35 USC § 102

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1-4, 9-12, 17-20 are rejected under 35 U.S.C. 102(b) as being anticipated by Oe et al. U.S. Patent Application Publication Number 2002/0099837 A1 (hereinafter Oe).

3. As per claims 1, 9, and 17, Oe discloses a method in a data processing system for controlling the transfer of data from the data processing system to a network, said method comprising the steps of: creating a file list of one or more data files to be controlled (see access right management table on page 1 section [0015]); creating a process list for each data file in the file list, wherein each process list identifies one or more processes executing in the data processing system that has accessed the data file associated with the created process list (see access monitoring log on figure 8 and page 15 section [0348]); receiving a request from a requesting process executing in the data processing system to transfer data from the data processing system to the network (see request on page 1 section [0010]); determining if the requesting process is

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identified in one or more created process lists (see determination step on page 1 section [0011]); and if the requesting process is identified in a created process list, prohibiting the requested transfer of data from the data processing system to the network (see denial step on page 1 section [0013]).

4. As per claims 2, 10, 18, Oe discloses the method according to claims 1, 9, and 17, wherein the step of creating a process list includes adding a first process to a process list when the first process receives data from a second process identified on the process list (see access monitor log and log management database on page 15 section [0348]).

5. As per claims 3, 11, and 19, Oe discloses the method according to claim 2, wherein the first process is only added to the process list when the received data is related to the process list's associated data file (see presence/absence of an access right on page 15 section [0350]).

6. As per claims 4, 12, and 20, Oe discloses the method according to claim 1, wherein the step of receiving includes receiving a request from a requesting process executing in the data processing system to transfer a data file listed in the file list from the data processing system to the network (see the right to move and copy on page 1 section [0018]).

Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 5-8, 13-16, 21-24 are rejected under 35 U.S.C. 103(a) as being unpatentable over Oe as applied to claims 1, 9, and 17 above, and further in view of Yamaguchi et al. U.S. Patent Application Publication Number 2004/0064572 A1 (hereinafter Yamaguchi).

9. As per claims 5, 13, and 21, Oe does not disclose expressly the use of an authorization to enable the transfer request. Yamaguchi teaches the authentication to unlock access level after receiving a list of service (see page 3 section [0062]). Oe and Yamaguchi are analogous art because they are from the same field of endeavor, network access control systems. At the time of the invention is would have been obvious to a person of ordinary skill in the art to include an optional step to authorize the transfer of protected contents. The motivation for doing so would have been to give the user an option to have access of controlled data. Therefore, it would have been obvious to combine Oe with Yamaguchi for the benefit of an authorization step to obtain the invention as specified in claims 5, 13, and 21.

10. As per claims 6, 14, and 22, Oe does not disclose expressly the use of an authorization to enable the transfer request with a graphical user interface. Yamaguchi teaches the authentication to unlock access level after receiving a list of service with a graphical user interface (see message indicating that authentication is required on step 62 and execute user registration on step 63 on Figure 8). Oe and Yamaguchi are analogous art because they are from the same field of endeavor, network access control systems. At the time of the invention it would have been obvious to a person of ordinary skill in the art to include an optional step to authorize the transfer of protected contents with a graphical user interface. The motivation for doing so would have been to give the user an option to have access of controlled data and offer a user friendly interface. Therefore, it would have been obvious to combine Oe with Yamaguchi for the benefit of an authorization step with graphical user interface to obtain the invention as specified in claims 6, 14, and 22.

11. As per claims 7, 15, and 23, Oe does not disclose expressly the use of an authorization to enable the transfer request with a graphical user interface. Yamaguchi teaches the authentication to unlock access level to receive the service (see page 3 section [0062]). Oe and Yamaguchi are analogous art because they are from the same field of endeavor, network access control systems. At the time of the invention it would have been obvious to a person of ordinary skill in the art to include an optional step to authorize and transfer of the protected contents. The motivation for doing so would have been to give the user an option to have access of controlled data. Therefore, it

would have been obvious to combine Oe with Yamaguchi for the benefit of an authorized user transfer of protected data to obtain the invention as specified in claims 7, 15, and 23.

12. As per claims 8, 16, and 24, Oe does not disclose expressly the use of an authorization from a user command to enable the transfer request with a graphical user interface. Yamaguchi teaches the authentication from user registering command to unlock access level to receive the service (see message indicating that authentication is required on step 62 and execute user registration on step 63 on Figure 8). Oe and Yamaguchi are analogous art because they are from the same field of endeavor, network access control systems. At the time of the invention it would have been obvious to a person of ordinary skill in the art to include an optional step to allow user to give command to authorize and transfer of the protected contents. The motivation for doing so would have been to give the user an option to have access of controlled data. Therefore, it would have been obvious to combine Oe with Yamaguchi for the benefit of an user authorization command to transfer protected data to obtain the invention as specified in claims 8, 16, and 24.

13. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

a) Web Server Intrusion Detection Method and Apparatus by Converse et al.,
U.S. Patent Application Publication Number 2002/0143963 A1.

b) Method and System for Session Based Authorization and Access Control for Networked Application Objects by Staamann et al., U.S. Patent Application Publication Number 2003/0145094 A1.

c) User-Centric Consent Management System and Method by Dunn, U.S. Application Publication Number 2007/0038765 A1.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Alan S. Chou whose telephone number is (571) 272-5779. The examiner can normally be reached on 7am-3pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Zarni Maung can be reached on (571)272-3939. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

AC


ZARNI MAUNG
SUPERVISORY PATENT EXAMINER